

Supervisory Work Folder and Recordkeeping

Many consider records and recordkeeping a burden; however, records are an extension on our memory. They help supervisors recall what has happened and reinforce decisions that have been made in the past, as well as provide the basis for those decisions that one must make in the present.

Supervisor work folders provide a system for keeping information about those supervised. First-level supervisors must keep separate work folders for each technician; higher-level supervisors are not permitted to maintain duplicate work folders.

You, as a supervisor, will find the development and maintenance of accurate records are essential to nearly every aspect of personnel management. The supervisory work folder, whether electronic or manual, is one of the most essential records you will keep. It allows you to meet personnel management obligations and provide a method of recording your subordinates' career accomplishments as well as job performance.

Since the incorporation of MyBiz and MyWorkplace, technicians and supervisors now have secure, real-time, on-line access to key personnel information from their workstation, anytime. Technicians can now view and update personal information as well as print their Notification of Personnel Actions (SF 50s). Managers and Supervisors of Technicians may now view personnel information for their subordinates including updated Notification of Personnel Actions, Awards, Performance information, and view/ print employee emergency contact information. My Workplace allows Managers and Supervisors to:

- View their employees' personnel information 24/7 (from a military networked computer only)
- Update the trial period rating
- Develop performance plans and complete performance appraisals

This electronic information distribution allows supervisors to maintain updated records on their employees that are maintained within the self-service systems.

Acceptable Content of the Supervisor Folder

- ✓ Supervisor's Checklist
- ✓ Performance-related records may be maintained for no more than 4 years (IAW 5 CFR 293.404, Chapter 1. They include but are not limited to performance plans with established critical elements, performance ratings of record, records to keep track of performance, documents concerning reconsideration/ appeal of performance-related matters; performance improvement plans; and memorandums or notations of performance counseling.
- ✓ Emergency Information (may also be obtained out of the MyWorkplace system)
- ✓ Conduct-related records are maintained until no longer relevant to a continuing or recurring problem. Only letters of reprimand contain specific disposition dates. Since the HRO maintains the official file, OPF, a supervisor would have no need to keep copies of adverse action records once the action is completed (notations on the 904-1 are sufficient).
- ✓ Leave schedules prepared annually to assure timely use of annual leave may be filed in work folders or in a central location.
- ✓ Copies of the SF 52, Request for Personnel Action, may be kept until action is completed.
- ✓ Copies of correspondence or forms related to training may be kept until training is completed. Completed training may also be annotated on the NGB 904-1. Training plans may be kept until no longer relevant.
- ✓ Current Position Descriptions for each basic position may be filed in the work folder of each individual or may be maintained in a central location.
- ✓ Documents required for the position (e.g., copies of licenses, professional accreditation, certificate documenting proficiency with equipment or tools used, and firearms proficiency) may be retained until updated.
- ✓ Other records which are valuable in reaching decisions on what course of action to take with regard to technician employment.
- ✓ Copies of documents supporting an award or commendation may be kept until action is completed.
- ✓ Personal Notes can be maintained as memory aides but are not official agency records and are not subject to the Privacy Act because they are (a) retained for the personal use of the supervisor and used ONLY as memory aids or joggers; (b) are not circulated or shown to anyone else- FYEO; (c) are retained or discarded solely as the supervisor sees fit (not under regulatory control).

NOTE: Letting a technician know that information has or will be added to the work folder can help to reinforce both positive and negative events.

Prohibited Documents

- ☒ Copies of the SF 50-other than the electronic record maintained in MyBiz and MyWorkplace.
- ☒ Security investigative records or reports.
- ☒ Pre-employment vouchers or telephone inquiry notation.
- ☒ Letters of indebtedness which have no bearing on a technician's ability to perform his/her duties or the reputation of the National Guard.
- ☒ Medical records
- ☒ SF 181, Race and National Origin Identification, or SF 256, Self-Identification of Handicap.
- ☒ Photographs of personnel
- ☒ Training Certificates
- ☒ Resumes

Care and Disposition

- Work folder records can be retained indefinitely, provided they are relevant and necessary in carrying out supervisory responsibilities.
- They must be kept in a lockable file or desk drawer at the supervisor's work site or elsewhere nearby, if the worksite cannot be secured.
- Work folder records move to the new supervisor when an employee is reassigned, etc. However, personal notes must be moved before forwarding work folder(s).
- Work folders will be destroyed (shredded) within 90 calendar days after an action occurs which separates the technician from employment from National Guard employment.

Work Folder Access

The following individual(s) may be granted access to the work folder on an as needed basis:

- The employee and any other person(s) she/ he authorizes in writing may see and/ or obtain copies of the information in the folder.
- Supervisors and Managers within your OWN supervisory chain
- Individuals with official need for the record in the performance of their duties (e.g. the JAG)
- Other managers or officials conducting authorized activities
- Persons acting in accordance with the state's labor agreement(s)

NOTE: No other persons, including those from the organization's clerical or assistant staff, are permitted to or delegated the responsibility for posting and maintaining an employee's Supervisory Work folder.

Checklist

For Maintenance of Supervisory Record

This checklist will help you maintain your supervisory records. It covers records and documents that are maintained in your employees' Supervisory Work Folders, as well as some that do not have to be included in the work folders, but that you need to maintain for planning and other purposes. Either way, if you can check off each of the following items, you are in good shape.

- **My Work Folders are physically located near me, so that I can refer to them conveniently and as often as needed.**
- **My Work Folders are protected against casual access, inappropriate disclosure, or invasion of personal property.**
- **I personally maintain the work folders of my technician staff, and do not pass responsibility on to a secretary or other administrative person filing and updating them.**
- **I have the NGB Form 904-1, Supervisor Brief (or a SUPBRF), on each of my technicians.**
- **I maintain current entries in the Work Folder.**
- **I receive copies of the SF 50's, Notifications of Personnel Actions, in MyWorkplace on each of my technician staff.**
- **I record the dates and subjects of my discussions with each member of my staff in item 12 of that technician's NGB Form 904-1.**
- **When I must add an additional NGB Form 904-1 or supplemental sheet of paper, I write the sequential number of 904-1 pages on the new page.**
- **I have current Performance plans on file and the performance appraisal and the interim review are documented on the 904-1 for all of my technicians.**
- **I have removed all performance-related records that are over (4) years old from each file. I have accomplished this by either destroying or marking them obsolete, and delivering them to the appropriate technician for disposition. I have a copy of the Optional Form 8/ Position Description for each basic position authorized in my unit.**
- **I have a projected leave schedule for each employee I supervise.**
- **I have recently reviewed and am familiar with the rules governing technician access to their own work folder.**
- **I have reviewed and am familiar with the rules governing personal notes in the work folders.**
- **I have reviewed any collective bargaining agreement(s) that relate to my subordinate staff for any necessary recordkeeping requirements.**